




DDA/ResHab Certification - Statement of Deficiencies

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|--|--------------------------|--------------------------------|---|
|  Agency: | Superior ResHab Support | Region(s): | 1 |
| Agency Type: | Residential Habilitation | Survey Dates: | October 3, 2016 |
| Certificate(s): | RHA-5348 | Certificate(s) Granted: | <input type="checkbox"/> 6 - Month Provisional <input type="checkbox"/> 1 - Year Full <input checked="" type="checkbox"/> 3 - Year Full |

| Rule Reference/Text | Findings | Agency's Plan of Correction (Please refer to the Statement of Deficiencies cover letter for guidance) | Date to be Corrected (mm/dd/yyyy) |
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| 16.04.17.203. 203.STAFF RESIDENTIAL HABILITATION PROVIDER TRAINING. Training must include orientation and ongoing training at a minimum as required under IDAPA 16.03.10, "Medicaid Enhanced Plan Benefits," Sections 700 through 706. Training is to be a part of the orientation training and is required initially prior to accepting participants. All required training must be completed within six (6) months of employment with a residential habilitation agency and documented in the employee residential habilitation provider record. The | In review of agency records for 1 of 5 employee records review there was no documentation of employee training in the areas of these rules. For example: Employee #10 did not have documentation of having received orientation training other than new hire, employee specific training. | <i>1 the administrator has revised the staff file check off list to ensure documentation is signed and in employees file 2. the new staff file check off list will be added to present employees files 3. The Administrator will be responsible for reviewing the</i> | 10/30/16 |



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| agency must ensure that all employees and contractors receive orientation training in the following areas: (3-29-12) | | <i>employees file to ensure that all required documentation is present, the QIDP will be responsible for providing all training per Idapa rules to ensure employee has all training prior to working with Participant</i> <i>4. completed date will be 10/31/2016</i> | |
| 16.04.17.203.02. 203.STAFF RESIDENTIAL HABILITATION PROVIDER TRAINING. Training must include orientation and ongoing training at a minimum as required under IDAPA 16.03.10, "Medicaid Enhanced Plan Benefits," Sections 700 through 706. Training is to be a part of the orientation training and is required initially prior to accepting participants. All required training must be completed within six (6) months of employment with a residential habilitation | In review of agency records for 1 of 5 employee records review there was no documentation of employee training in developmental disabilities commensurate with the skills of participants served. For example: Employee #10 has no documentation of any training received including training commensurate with the skills of the participants served. | <i>1 the administrator has revised the staff file check off list to ensure documentation is signed and in employees file</i> <i>2. the new staff file check off list will be added to present employees files</i> <i>3. The Administrator</i> | <i>Click here to enter a date.</i> |



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| agency and documented in the employee residential habilitation provider record. The agency must ensure that all employees and contractors receive orientation training in the following areas: 02. Disabilities. Developmental disabilities commensurate with the skills of participants served. (3-20-04) | | <i>will be responsible for reviewing the employees file to ensure that all required documentation is present, the QIDP will be responsible for providing all training per Idapa rules to ensure employee has all training prior to working with Participant</i> 4. 10/30/16 | |
| 16.04.17.203.03. 203.STAFF RESIDENTIAL HABILITATION PROVIDER TRAINING. Training must include orientation and ongoing training at a minimum as required under IDAPA 16.03.10, "Medicaid Enhanced Plan Benefits," Sections 700 through 706. Training is to be a part of the orientation training and is required initially prior to | In review of agency records for 1 of 5 employee records review there was no documentation of employee training in Understanding of Participant's needs. For example: Employee #10's file review did not have documentation of training in Understanding of Participants' needs. A basic understanding of the needs, desires, goals and objectives of | <i>1 the administrator has revised the staff file check off list to ensure documentation is signed and in employees file</i> 2. the new staff file check off list will be added to present | 10/30/16 |



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| accepting participants. All required training must be completed within six (6) months of employment with a residential habilitation agency and documented in the employee residential habilitation provider record. The agency must ensure that all employees and contractors receive orientation training in the following areas: 03. Understanding of Participants' Needs. A basic understanding of the needs, desires, goals and objectives of participants served. (3-20-04) | participants served. | <i>employees files</i> <i>3. The Administrator will be responsible for reviewing the employees file to ensure that all required documentation is present, the QIDP will be responsible for providing all training per Idapa rules to ensure employee has all training prior to working with Participant</i> <i>4. 10/30/16</i> | |
| 16.04.17.203.04. 203.STAFF RESIDENTIAL HABILITATION PROVIDER TRAINING. Training must include orientation and ongoing training at a minimum as required under IDAPA 16.03.10, "Medicaid Enhanced Plan Benefits," Sections 700 through 706. Training is to be a part of the orientation | In review of agency records for 1 of 5 employee records review there was no documentation of employee training in Supervision. Appropriate methods of supervision. For example: Employee #10's record did not have documentation of the | <i>1 the administrator has revised the staff file check off list to ensure documentation is signed and in employees file</i> <i>2. the new staff file check off list will be</i> | 10/30/16 |



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| training and is required initially prior to accepting participants. All required training must be completed within six (6) months of employment with a residential habilitation agency and documented in the employee residential habilitation provider record. The agency must ensure that all employees and contractors receive orientation training in the following areas: 04. Supervision. Appropriate methods of supervision. (7-1-95) | employee having received training in the appropriate methods of supervising participants. | <i>added to present employees files</i> <i>3. The Administrator will be responsible for reviewing the employees file to ensure that all required documentation is present, the QIDP will be responsible for providing all training per Idapa rules to ensure employee has all training prior to working with Participant</i> <i>4. 10/30/16</i> | |
| 16.04.17.203.05. 203.STAFF RESIDENTIAL HABILITATION PROVIDER TRAINING. Training must include orientation and ongoing training at a minimum as required under IDAPA 16.03.10, "Medicaid Enhanced Plan Benefits," Sections 700 through 706. | In review of agency records for 3 of 5 employee records review there was no documentation of employee training in a review of services. A review of the specific service that the participant requires. | <i>1 the administrator has revised the staff file check off list to ensure documentation is signed and in employees file</i> <i>2. the new staff file</i> | 10/30/16 |



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| Training is to be a part of the orientation training and is required initially prior to accepting participants. All required training must be completed within six (6) months of employment with a residential habilitation agency and documented in the employee residential habilitation provider record. The agency must ensure that all employees and contractors receive orientation training in the following areas: 05. Review of Services. A review of the specific services that the participant requires. (3-20-04) | For example: Employees 1 did not receive training specific to the skills and needs of the participant (IDAPA 16.03.10.705.01.c.ix) until 2/19/16. Employee #2 did not receive training specific to the needs of the participant at the time of the file review. Employee #10 had no documentation of orientation training to include a review of the specific services that the participant requires. | <i>check off list will be added to present employees files</i> <i>3. The Administrator will be responsible for reviewing the employees file to ensure that all required documentation is present, the QIDP will be responsible for providing all training per Idapa rules to ensure employee has all training prior to working with Participant</i> <i>4. 10/30/16</i> | |
| 16.04.17.301.02. 301. PERSONNEL. 02. Work Schedules. Coverage is scheduled to assure compliance with the Individual Support and Implementation Plans and all work schedules must be kept in writing. The | In review of agency documentation For 1 of 5 staff reviewed there was no work schedules. There was no documentation that coverage is scheduled to assure compliance with the Individual Support and Implementation plans and that all | <i>1. this company will ensure schedules are completed the month prior and posted in a common area of Participants home and</i> | <i>Click here to enter a date.</i> |



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| agency must specify provisions and procedures to assure back-up coverage for those work schedules. (3-20-04) | work schedules are kept in writing. There was no documentation that the agency specified provisions and procedures to assure back-up coverage for those work schedules. | <i>a list of staff phone numbers available to other staff. A list of staff phone numbers will be in the house book in locked file cabinet in participants home 2.none identified 3. the administrator will be responsible for creating a blank phone number list to be fill out by staff and administrator will be responsible for creating schedule monthly and creating current one when staff is removed permentally from schedule 4.10/30/16</i> | |
| 16.04.17.301.03.h | In review of employee records for 1 of 5 | <i>1 the administrator</i> | <i>10/30/16.</i> |



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| 301. PERSONNEL. 03. Personnel Records. A record for each employee must be maintained from date of hire for not less than one (1) year after the employee is no longer employed by the agency, and must include at least the following: h. Documentation of initial orientation and required training; and (7-1-95) | employee records reviewed there was no documentation of initial orientation training in the employee record. For example: Employee #10 's record did not contain documentation of having received orientation training. | <i>has revised the staff file check off list to ensure documentation is signed and in employees file 2. the new staff file check off list will be added to present employees files 3. The Administrator will be responsible for reviewing the employees file to ensure that all required documentation is present , the QIDP will be responsible for providing all training per Idapa rules to ensure employee has all training prior to working with Participant 4. 10/30/16</i> | |



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| 16.04.17.301.03.j 301. PERSONNEL. 03. Personnel Records. A record for each employee must be maintained from date of hire for not less than one (1) year after the employee is no longer employed by the agency, and must include at least the following: j. Verification of satisfactory completion of criminal history checks in accordance with IDAPA 16.05.06, "Criminal History and Background Checks"; and (3-20-04) | In review of agency documentation, for 7 of 12 employee files reviewed there was no verification of satisfactory completion of criminal history checks in accordance with IDAPA 16.05.06 "Criminal History and Background Checks" For example: Employee #1 No clearance letter on file. Was corrected during survey. Employee #5 hired 5/26/15 no notarized self declaration and no clearance letter. Clearance letter was added to file during the survey. Employee #6 No notarized self declaration, added to agency 8/15/16 no ISP background check, No clearance letter. Clearance letter corrected during survey. Employee #7 Hired 5/13/16, no | <i>1 the administrator has revised the staff file check off list to ensure documentation is signed and in employees file</i> <i>2. the new staff file check off list will be added to present employees files</i> <i>3. The Administrator will be responsible for reviewing the employees file to ensure all required paper work is present</i> <i>4. upon hire, I will follow your P & P and the CHC rules for the CHC process including having the signed and notarized self-declaration when applicable and having a completed and reviewed</i> | 10/30/16. |



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| | <p>notarized self declaration statement or clearance letter. Did not add to the agency, sent ISP name check 9/26/16 no results received yet.</p> <p>Employee #8 no Notarized Self Declaration and No clearance letter in file. Clearance letter was corrected during survey.</p> <p>Employee #10 NO self-declaration or clearance letter.</p> <p>Employee #12 hired 1/9/16 ISP check completed 2/2/16 but no clearance letter in the file. Clearance letter was added to file during survey.</p> | <p><i>ISP background check when applicable and always having them attached to my agency with a matching clearance letter.</i></p> | |
| 16.04.17.400.02.b. 400.PARTICIPANT RECORDS. 02. Required Information. Records must include at least the following information: b. Social Security and Medicaid ID numbers. (7-1-95) | <p>In review of agency documentation including participant records, for 1 of 2 participant records reviewed there was no social security number on file.</p> <p>For example: Participant #2 did not have</p> | <p><i>1. this agency will ensure all present and future Participants working with us will be required to supply a Social Security Number</i></p> | <p><i>10/30/16</i></p> |



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| | a social security number. | <i>and Medicaid ID number for participant records 2. Administrator will ensure by informing Present and new Participants of Rule to help them understand it is a requirement. 3. The Administrator will review all files and ensure they have required numbers 4. 10-30-16</i> | |
| 16.04.17.400.02.h. 400.PARTICIPANT RECORDS. 02. Required Information. Records must include at least the following information: h. Results of a history and physical when necessary. (7-1-95) | In review of agency documentation including participant records, for 1 of 2 participant records reviewed, there was no history and physical on file. For example: Participant #2's file did not contain a history and physical. | <i>1. this company will contact physicans via email ,fax,or postal service to request information and keep documentation to verify attempts tp acquire information 2.Administrator will review participants file</i> | 10/20/16 |



IDAHO DEPARTMENT OF
HEALTH & WELFARE

Division of Licensing & Certification

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| | | <i>and review and up date participants file check list to ensure company is requesting and acquiring information 3. the Administrator will be responsible for monitoring files to ensure required info in present 4.10/30/16</i> | |

Agency Representative & Title: Tracy Crabb Administrator

** By entering my name and title, I agree to implement this plan of correction as stated above.*

Date Submitted: 10/ 18/2016

Department Representative & Title:

** By entering my name and title, I approve of this plan of correction as it is written on the date identified.*

Date Approved: